

Appl. No. 09/917,447
Response Dated December 23, 2005
Reply to Office action dated September 26, 2005

Amendments to the Claims:

This listing of claims will replace all prior versions and listings of claims in the application:

Listing of Claims

1. (Original) A method for providing supervision over the activities of a number of representatives of a business, the method comprising the steps of:
 providing a database, each of the number of representatives recording his/her activities in the database;
 providing a number of reports, each report defining a number of unacceptable activity parameters;
 running the number of reports against the database, each report checking the recorded activities of each representative against the number of unacceptable activity parameters defined in the report; and
 providing a listing of alerts for only those activities in the database that fall within the unacceptable activity parameters defined in the number of reports.
2. (Original) A method according to claim 1, wherein the number of unacceptable activity parameters can be changed by a user or representative charged with the supervision of the activities of the number of representatives.
3. (Original) A method according to claim 1, wherein selected reports are run against the database in a batch mode during off peak hours.
4. (Original) A method according to claim 1, wherein selected reports are run against the database at a preset interval.
5. (Original) A method according to claim 1, wherein selected reports are run against the database when a representative performs a predetermined function.

Appl. No. 09/917,447
Response Dated December 23, 2005
Reply to Office action dated September 26, 2005

6. (Original) A method according to claim 1, further comprises the step of storing the listing of alerts in the database.

7. (Original) A method according to claim 6, further comprising the steps of:
performing follow up activity for selected alerts; and
recording the follow up activity for the selected alerts in the database.

8. (Original) A method according to claim 1, further comprising the step of assembling a listing of alerts that were generated during a predetermined previous time period.

9. (Original) A method according to claim 1, further comprising the step of identifying selected alerts using a search function.

10. (Original) A method according to claim 1, further comprising the step of providing compliance related materials to a user.

11. (Original) A method according to claim 10, further comprising the step of recording when the user views or access the compliance related materials.

12. (Original) A method according to claim 1, further comprising the step of accessing one or more entries in the database that correspond to a selected alert.

13. (Currently Amended) A method for providing supervision over the activities of a number of representatives of a business, the method comprising the steps of:

providing a database, each of the number of representatives recording his/her activities in the database;

Appl. No. 09/917,447

Response Dated December 23, 2005

Reply to Office action dated September 26, 2005

providing a number of reports, each report defining a number of acceptable activity parameters;

running the number of reports against the database, each report checking the recorded activities of each representative against the number of [[un]]acceptable activity parameters defined in the report; and

providing a listing of alerts for only those activities in the database that fall outside of the acceptable activity parameters defined in the number of reports.

14. (Original) A method for providing a report used by a supervisor for supervising the activities of a number of representatives of a business, wherein each of the number of representatives records his/her activities in the database, the method comprising:

identifying one or more unacceptable activities;

defining one or more unacceptable activity parameters for detecting the one or more unacceptable activities when the report is run against the database;

determining which of the unacceptable activity parameters can be changed by the supervisor, resulting in one or more changeable activity parameters; and

generating the report, the report including the one or more unacceptable activity parameters including one or more of the changeable activity parameters.

15. (Original) A method according to claim 14, wherein the report is adapted to provide an alert for those activities in the database that fall within the unacceptable activity parameters defined in the report.

16. (Original) A method according to claim 14, wherein the business is a financial services firm, and the representatives are brokers.

Appl. No. 09/917,447

Response Dated December 23, 2005

Reply to Office action dated September 26, 2005

17. (Original) A method according to claim 16, wherein the database includes account data for a number of customers of the financial services firm, the account data including the date of birth of the customers.

18. (Original) A method according to claim 17, wherein one of the activities recorded by each representative is each trade made by the representative on behalf of a customer.

19. (Original) A method according to claim 18, wherein one of the unacceptable activities is too much trading by older customers.

20. (Original) A method according to claim 18, wherein the unacceptable activity parameters include a date of birth and a number of trades.

21. (Original) A method according to claim 20, wherein both the date of birth parameter and the number of trades parameter can be changed by the supervisor.

22. (Original) A method according to claim 21, wherein the report provides an alert for each customer that has a date of birth on or before the date of birth parameter and have a number of trades that exceeds the number of trades parameter.

23. (Original) A method according to claim 16, wherein one of the unacceptable activities is having a margin balance that is too large relative to a customer's equity value.

24. (Original) A method according to claim 16, wherein one of the unacceptable activities is having too many Annuity 1035 Exchange transactions over a specified period of time.

Appl. No. 09/917,447

Response Dated December 23, 2005

Reply to Office action dated September 26, 2005

25. (Original) A method according to claim 16, wherein one of the unacceptable activities is having too much trade activity in discretionary accounts.

26. (Original) A method according to claim 16, wherein one of the unacceptable activities is having too many unacceptable activities in a predetermined time period.

27. (Original) A method for providing a report used by a supervisor for supervising the activities of a number of representatives of a business, wherein each of the number of representatives records his/her activities in the database, the method comprising:

identifying one or more acceptable activities;

defining one or more acceptable activity parameters for detecting the one or more acceptable activities when the report is run against the database;

determining which of the acceptable activity parameters can be changed by the supervisor, resulting in one or more changeable activity parameters; and

generating the report, the report including the one or more acceptable activity parameters including one or more of the changeable activity parameters.

28. (Original) A method according to claim 26, wherein the report is adapted to provide an alert for those activities in the database that fall outside of the acceptable activity parameters defined in the report.

29. (New) A method according to claim 1, wherein the listing of alerts includes an alert that corresponds to an activity other than neglecting to enter one or more data fields in a customer account.